



09-04-03965101.062872
1032

44#4

Express Mail Label No. EL565148242US
Date of Deposit: August 30, 2002
DOCKET NO: C01039/70057/MAT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Davis, et al.
Serial No: 09/965,101
Confirmation No: 3959
Filed: September 26, 2001
For: VECTORS AND METHODS FOR IMMUNIZATION OR
THERAPEUTIC PROTOCOLS

Examiner: Not yet assigned
Art Unit: 1632

BOX DUPLICATE OIPE

U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202-2327

Sir:

Transmitted herewith for filing are the following documents:

- [X] Copy of Request for Substitute Papers
- [X] Response to Request for Substitute Papers
- [X] Copy of Postcard Date-Stamped June 28, 2002 from the USPTO
- [X] Copy of Post Office Express Mail Delivery Label
- [X] Copy of Postcard Submitted to USPTO dated June 28, 2002
- [X] Copy of Transmittal Letter addressed to BOX DUPLICATE OIPE dated June 28, 2002
- [X] Copy of Postcard Submitted to USPTO dated December 5, 2001
- [X] Copy of Transmittal Letter addressed to Commissioner for Patents dated December 5, 2001
- [X] Copy of Request for Substitute Papers submitted to USPTO and dated June 28, 2002
- [X] Copy of Response to Request for Substitute Papers dated June 28, 2002
- [X] Copy of Notice to File Corrected Application Papers received from USPTO and dated November 19, 2001
- [X] Letter to Official Draftsman addressed to Commissioner for Patents dated December 5, 2001, including copy of fifteen (15) sheet of formal drawings

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.



09965101 .062802 #4

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Applicant: Davis, et al.
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For: VECTORS AND METHODS FOR IMMUNIZATION OR
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Art Unit: 1632

BOX DUPLICATE OIPE
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202-2327

RESPONSE TO REQUEST FOR SUBSTITUTE PAPERS

Sir:

This is in response to the Request for Substitute Papers mailed from the United States Patent and Trademark Office on August 26, 2002. This is the second Request for Substitute Papers mailed from the United States Patent and Trademark Office. The first request was mailed June 19, 2002, and Applicants timely responded to that request by filing the enclosed documents. Applicants also received a stamped, return-receipt postcard from the USPTO indicating that the USPTO received the documents on June 28, 2002.

Notwithstanding the previous response, attached are copies of documents filed with Certificate of Mailing December 5, 2001. Applicants believe this is responsive to the Request for Substitute Papers.

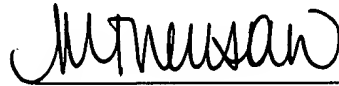
Serial No.: 09/965,101

- 2 -

Art Unit: 1632

If any other information is needed, please contact the undersigned by telephone (617-720-3500, extension 266) to expedite the further prosecution of this patent application.

Respectfully submitted,
Davis, et al., Applicants



Maria A. Trevisan, Reg. No. 48,207
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, Massachusetts 02210-2211
Telephone: (617) 720-3500

Docket No. C01039/70057/MAT

Date: August 30, 2002

X09/12/02



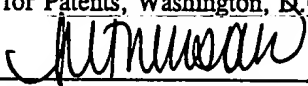
ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Davis, et al.
Serial No.: 09/965,101
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC
PROTOCOLS
Filed: September 26, 2001
Examiner: Not yet assigned
Art Unit: 1632

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on December 5, 2001.


Maria A. Trevisan Reg. No.: 48,207

Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL

**COPY
AS FILED**

Transmitted herewith are the following documents:

- ☒ Notice to File Corrected Application Papers
- ☒ Substitute Drawings in Compliance with 37 C.F.R. 1.84
- ☒ Letter to Official Draftsman
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is required. If any fee is determined to be due by the Examiner, the Examiner is authorized to charged the appropriate fee to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,



Maria A. Trevisan, Reg. No. 48,207
Wolf, Greenfield & Sacks, P.C.
Federal Reserve Plaza, 600 Atlantic Avenue
Boston, MA 02210-2211
(617)720-3500
Attorneys for Applicants

Attorney Docket No. C1039/7057
Date: December 5, 2001
X1/19/02



ATTORNEY'S DOCKET NO: C1039/7057 (HCL/MAT)
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Krieg, et al.
Serial No.: 09/965,101
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC
PROTOCOLS
Filed: September 26, 2001
Examiner: Not yet assigned
Art Unit: 1632
Conf No.: 3959

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.10(a)

I hereby certify that this document is being placed in the United States mail as Express Mail No. EL953479526US, addressed to Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327 on June 28, 2002.

Maria A. Trevisan Reg. No.: 48,207

Box Duplicate OIPE
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202-2327

Sir:

Transmitted herewith are the following documents:

- ☒ Copy of Request for Substitute Papers
- ☒ Response to Request for Substitute Papers
- ☒ Copy of documents filed with Certificate of Mailing December 5, 2001
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is required. If there is a fee required in connection with filing these documents, it may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,

Maria A. Trevisan, Reg. No. 48,207
Wolf, Greenfield & Sacks, P.C.
Federal Reserve Plaza, 600 Atlantic Avenue
Boston, MA 02210-2211
(617)720-3500

Attorney Docket No. C1039/7057

Date: June 28, 2002

X 07/03/02



Express Mail Label N .EL565148242US

Date of Deposit: August 30, 2002 *blue*

MAT

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/965,101	09/26/2001	Krieg, Arthur	C1039/7057 (HCL/MAT)

Maria A. Trevisan
Wolf, Greenfield & Sacks, P.C.
Federal Reserve Plaza
600 Atlantic Avenue
Boston MA 02210

ORIGINAL

Title: Vectors and methods for immunization or therapeutic protocols

Date Mailed: 08/26/2002

Request for Substitute Papers

The papers filed on 01/23/02 (certificate of mailing dated 12/05/01) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated ~~703-746-1000 (Toll-Free)~~ *703-746-9195*

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

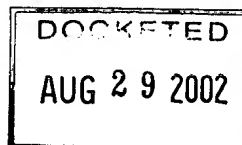
The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely reply to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: MARIA A. TREVISAN Registration No.: 48,207

Signature: *M Trevisan* Date: August 30, 2002



File Folder	<input checked="" type="checkbox"/>	Initials
ECB	<input checked="" type="checkbox"/>	
Docket	<input checked="" type="checkbox"/>	
Docket Cross Off	<input checked="" type="checkbox"/>	
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Date In 06 28 02 Mo. Day Year	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$	Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Time In <input type="checkbox"/> AM <input type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee	Delivery Date	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Weight lbs. ozs.	Int'l Alpha Country Code	COD Fee Insurance Fee	<input type="checkbox"/> WAIVER OF SIGNATURE (Postage Only) - Add postage and collect insurance if you do not have a signature. If you do not have a signature, the package will be delivered to the addressee's residence. If you do not have a signature, the package will be delivered to the addressee's residence. If you do not have a signature, the package will be delivered to the addressee's residence.		
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials	Total Postage & Fees \$	NO DELIVERY		
CUSTOMER USE ONLY METHOD OF PAYMENT: Express Mail Corporate Acct. No.			Federal Agency Acct. No. or Postal Service Acct. No.		
FROM: (PLEASE PRINT) PHONE: 617, 720-3500 WOLF GREENFIELD & SACKS 600 ATLANTIC AVE FEDERAL RESERVE PLAZA BOSTON MA 02210-2206 Maria A. Tensen			TO: (PLEASE PRINT) PHONE: COMMISSIONER FOR PATENTS WASHINGTON DC 20231-0001 Box Duplicate OIPE PO Box 2327 Arlington, VA 2202-2327		

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Label 11-F August 2000**COPY
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EL953479526US



Serial No. 09/965,101 File No. C1039/7057 By: NCL/MAT/cps
Title: Vectors and Methods for Immunization or Therapeutic...
Application of Davis, et al. WGS Date: X07/03/02
The U.S. PTO Mail Room acknowledges receipt of the following on the date stamped hereon:
[☒] Mailing by Express Mail (37 CFR 1.10)
Express Mail Label No. EL95947956us
[☐] Patent Application
[☐] Non-provisional [☐] Provisional
Incl. _____ pages, (_____ pgs) Specification,
(_____ pgs) Abstract, (_____ pgs) Claims (_____ # claims)
[☐] Design Patent Application
Declaration(s) _____
[☐] Drawings _____ Sheet(s) (FIGS. _____)
[☐] Formal [☐] Informal
[☐] Utility Patent Application Transmittal
Fee calculation sheet (x2)
CPA Transmittal
Verified Statement claiming small entity status
Assignment and Cover Sheet
[☐] Provisional Application Cover Sheet
Multiple Dependent Claim Fee Sheet
Inf. Disc. Statement, PTO Form 1449
[☐] References Cited
Priority Document(s) # _____
Copy of Notice to File Missing Parts
Amendment/Response
Petition for Ext. of Time (x2)
Issue Fee Transmittal
Letter to Official Draftsperson
Notice of Appeal
Brief (x3)
Check for \$ _____ Ch ck # _____
[☒] Transmittal Letter (x2)
[☒] Cert. of Mailing under 37 CFR 1.8(a)
[☒] Other Copy of Request for Substitute Papers: Response to
Request for Substitute Papers: Copy of Formal Drawings
and other documents submitted December 5, 2001
DATE MAILED JUN 28, 2002

**COPY
AS FILED**

Serial No. 09/965,101File No. C1039/7057By: HCI/MAT/kyTitle: Vectors and Methods for Immunization or TherapeuticApplication of Davis, et al.WGS Date: 11/9/02

The U.S. PTO Mail Room acknowledges receipt of the following on the date stamped hereon:

- | | |
|---|---|
| <input type="checkbox"/> Mailing by Express Mail (37 CFR 1.10)
Express Mail Label No. _____
<input type="checkbox"/> Patent Application
<input type="checkbox"/> Non-provisional <input type="checkbox"/> Provisional
Incl. _____ pages, (_____ pgs) Specification,
(_____ pgs) Abstract, (_____ pgs) Claims (_____ # claims)
<input type="checkbox"/> Design Patent Application
Declaration(s) _____
Drawings _____ Sheet(s) (FIGS. _____)
<input type="checkbox"/> Formal <input type="checkbox"/> Informal
<input type="checkbox"/> Utility Patent Application Transmittal
Fee calculation sheet (x2)
CPA Transmittal
Verified Statement claiming small entity status
Assignment and Cover Sheet | <input type="checkbox"/> Provisional Application Cover Sheet
Multiple Dependent Claim Fee Sheet
Inf. Disc. Statement, PTO Form 1449
<input type="checkbox"/> References Cited
Priority Document(s) # _____
Copy of Notice to File Missing Parts
Amendment/Response
Petition for Ext. of Time (x2)
Issue Fee Transmittal
Letter to Official Draftsperson
Notice of Appeal
Brief (x3)
Check for \$ _____ Check # _____
<input checked="" type="checkbox"/> Transmittal Letter (x2)
<input checked="" type="checkbox"/> Cert. of Mailing under 37 CFR 1.8(a) |
|---|---|

☒ Other Notice to File Corrected Application Papers;
Substitute Drawings in Compliance with
37 CFR 1.84

DATE MAILED

December 5, 2001

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/965,101	09/26/2001	Arthur M. Krieg	C1039/7057 (HCL/MAT)

CONFIRMATION NO. 3959

FORMALITIES LETTER



OC000000007093845

COPY
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Maria A. Trevisan
Wolf, Greenfield & Sacks, P.C.
Federal Reserve Plaza
600 Atlantic Avenue
Boston, MA 02210

Date Mailed: 11/19/2001

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



ATTORNEY'S DOCKET NO. C1039/7057 (HCL/MAT)

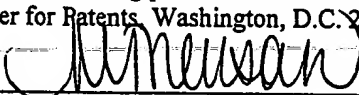
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): ~~Davis~~, et al.
Serial No.: 09/963,101
For: VECTORS AND METHODS FOR IMMUNIZATION OR THERAPEUTIC
PROTOCOLS
Filed: September 26, 2001
Examiner: Not Yet Assigned
Art Unit: 1632

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AS FILED**

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on December 5, 2001.



Maria A. Trevisan Reg. No.: 48,207

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Sir:

LETTER TO OFFICIAL DRAFTSMAN

Enclosed are fifteen (15) sheets of formal drawings containing Figs. 1A and 1B, 2A and 2B, 3A and 3B, 4A and 4B and 5-11. Applicants respectfully request that the Draftsman consider and approve the drawings.

The Commissioner is hereby authorized to charge any fees which may be required to Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

By:



Maria A. Trevisan Reg. No.: 48,207
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210
(617) 720-3500

Docket No.: C1039/7057 (HCL/MAT)
Date: December 5, 2001
X1/19/02